

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of

Mark L. FAUPEL et al.

Serial No.: 10/603,597

Filed: June 26, 2003

For: MULTI-MODAL OPTICAL TISSUE DIAGNOSTIC SYSTEM



: Group Art Unit: To be assigned

: Examiner: To be assigned

: Customer No.: 34610

INFORMATION DISCLOSURE STATEMENT

U.S. Patent and Trademark Office  
2011 South Clark Place  
Customer Window  
Crystal Plaza Two, Lobby, Room 1B03  
Arlington, Virginia 22202

Sir:

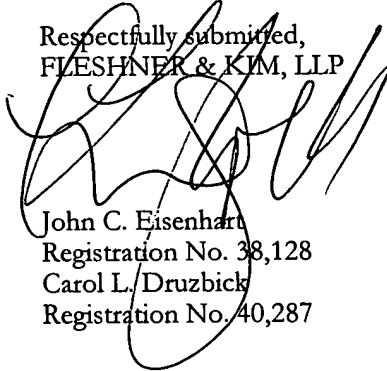
Pursuant to 37 C.F.R. 1.56, the attention of the Patent and Trademark Office is hereby directed to the references listed on the attached PTO-1449. One copy of each reference is attached. It is respectfully requested that the information be expressly considered during the prosecution of this application, and that the references be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

Applicants have listed publication dates on the attached PTO-1449 based on information presently available to the undersigned. However, the listed publication dates should not be construed as an admission that the information was actually published on the indicated date. Applicant reserves the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered. This statement should not be construed as a representation that a search has been made, that information cited in the statement is considered to be and/or is material to patentability, or that information more material to the examination of the present patent application does not exist. The Examiner is specifically requested not to rely solely on the material submitted herewith. It is further understood that the Examiner will consider information that was cited or submitted to the U.S. Patent and Trademark Office in a prior application relied on under 35 U.S.C. §120. 1138 OG 37, 38 (May 19, 1992).

- X 1. This Information Disclosure Statement is being filed (i) within three months of the U.S. filing date of a U.S. application other than a CPA continued prosecution application under §1.53(d) OR (ii) within three months of the date of entry of the national stage as set forth in §1.491 in an international application OR (iii) before the mailing date of a first Office Action on the merits. No certification or fee is required. 37 C.F.R. §1.97(b).
- 2. This Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection OR Notice of Allowance OR an action that otherwise closes prosecution in the application. 37 C.F.R. §1.97(c).
- a. I hereby state that each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. 1.97(e)(1).
- b. I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. 1.97(e)(2).

- c. Attached is our check no. \_\_\_\_\_ in the amount of \$180.00 in payment of the fee under 37 C.F.R. 1.17(p). Please credit or debit Deposit Account No. 16-0607 as needed to ensure consideration of the disclosed information. Two duplicate copies of this paper are attached.
- 3. This Information Disclosure Statement is being filed after the mailing date of a Final Rejection OR Notice of Allowance OR an action that otherwise closes prosecution in the application, but on or before payment of the Issue Fee. Attached is our check no. \_\_\_\_ in the amount of \$180.00 in payment of the fee under 37 C.F.R. 1.17(p). Please credit or debit Deposit Account No. 16-0607 as needed to ensure consideration of the disclosed information. Two duplicate copies of this paper are attached. 37 C.F.R. §1.97(d).
- a. I hereby state that each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. 1.97(e)(1).
- b. I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. 1.97(e)(2).
- X 4. The Examiner's attention is directed to co-pending U.S. Patent Application Serial No. 09/434,518 filed November 5, 1999, which is directed to related technical subject matter. The identification of this U.S. Patent Application is not to be construed as a waiver of secrecy as to that application now or upon issuance of the present application as a patent. The Examiner is respectfully requested to consider the cited application and the art cited therein during examination.
- X 5. These references were cited by or submitted to the Office in parent application No. 09/786,781, filed March 9, 2001, which is relied upon for an earlier filing date under 35 U.S.C. §120. Copies of references A1-X10 were submitted in the parent application and are not attached. Copies of references Y-10-B11 are provided as the Examiner indicated that copies were not provided in the parent application. Reference C11 is currently unavailable. Applicants will submit a copy of reference C11 to the Patent Office as soon as it becomes available. 37 C.F.R. §1.98(d).
- X 6. To the extent necessary, a petition for an extension of time under 37 C.F.R. 1.136 is hereby made. Please charge any shortage in fees due in connection with the filing of this paper, including extension of time fees, to Deposit Account 16-0607 and please credit any excess fees to such deposit account.

Respectfully submitted,  
FLESHNER & KIM, LLP

  
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Date: April 1, 2004

**Please direct all correspondence to Customer Number 34610**

**LIST OF PRIOR ART CITED BY  
APPLICANT  
(PTO-1449)**

ATTY. DOCKET NO.

**SPRX-0023USC1**

APPLN. SERIAL NO.

**10/603,597**

APPLICANT(S)

**Mark L. FAUPEL et al.**

CUSTOMER NO. 34610

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GROUP

**To Be Assigned****U.S. PATENT DOCUMENTS**

EXAMINER'S INITIALS	*PATENT NO.	*ISSUE DATE	*INVENTOR NAME	CLASS	SUBCLASS	FILING DATE
A1	3,494,354	02/10/70	YOKOTA et al.			
B1	4,056,724	11/01/77	HARTE			
C1	4,071,020	01/31/78	PUGLIESE			
D1	4,084,905	04/18/78	SCHREIBER et al.			
E1	4,099,872	07/11/78	WHITE			
F1	4,115,699	09/19/78	MIZUTA et al.			
G1	4,122,348	10/24/78	BRUCK			
H1	4,125,828	11/14/78	RESNICK et al.			
I1	4,127,773	11/28/78	WEST			
J1	4,131,800	12/26/78	BRUCK et al.			
K1	4,144,452	03/13/79	HARTE			
L1	4,160,016	07/03/79	ULLMAN			
M1	4,161,515	07/17/79	ULLMAN			
N1	4,162,405	07/24/79	CHANCE et al.			
O1	4,203,670	05/20/80	BROMBERG			
P1	4,213,762	07/80	SATO			
Q1	4,223,680	09/23/80	JOBSIS			
R1	4,236,526	12/02/80	RICHARD			
S1	4,266,549	05/12/81	KIMURA			
T1	4,330,207	05/18/82	NOGAMI et al.			
U1	4,407,964	10/04/83	ELINGS et al.			
V1	4,449,535	05/22/84	RENAULT			
W1	4,501,970	02/26/85	NELSON			
X1	4,516,856	05/14/85	POPELKA			
Y1	4,531,834	07/30/85	NOGAMI			
Z1	4,541,438	09/17/85	PARKER et al.			
A2	4,556,057	12/03/85	HIRUMA et al.			
B2	4,577,110	03/18/86	MacBRIDE et al.			
C2	4,600,306	07/15/86	HARA et al.			
D2	4,632,550	12/30/86	HARA et al.			
E2	4,643,877	01/17/87	OPITZ et al.			
F2	4,661,711	04/28/87	HARJUNMAA			
G2	4,675,529	06/23/87	KIUSHIDA			
EXAMINER				DATE CONSIDERED		

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.



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**U.S. PATENT DOCUMENTS**

EXAMINER'S INITIALS	*PATENT NO.	*ISSUE DATE	*INVENTOR NAME	CLASS	SUBCLASS	FILING DATE
H2	4,681,859	07/21/87	KRAMER			
I2	4,682,594	07/28/87	MOK			
J2	4,686,371	08/11/87	BIRCH et al.			
K2	4,697,870	10/06/87	RICHARDS			
L2	4,718,417	01/12/88	KITTRELL et al.			
M2	4,722,607	02/02/88	ANSELMANT et al.			
N2	4,731,326	03/15/88	THOMPSON et al.			
O2	4,751,190	06/14/88	CHIAPETTA et al.			
P2	4,753,530	06/28/88	KNIGHT et al.			
Q2	4,755,684	07/05/88	LEINER et al.			
R2	4,758,727	07/19/88	TOMEI et al.			
S2	4,785,513	09/06/88	SUZUKI			
T2	4,772,093	09/20/88	ABELE et al.			
U2	4,785,806	11/22/88	DECKELBAUM			
V2	4,786,170	11/22/88	GROEBLER			
W2	4,786,813	11/22/88	SVANBERG et al.			
X2	4,828,984	05/09/89	SCHWARTZ			
Y2	4,833,332	05/23/89	ROBERTSON, Jr. et al.			
Z2	4,840,485	06/20/89	GRATTON			
A3	4,852,579	08/01/89	GILSTAD et al.			
B3	4,855,930	08/08/89	CHAO et al.			
C3	4,877,583	10/31/89	MIWA et al.			
D3	4,877,965	10/31/89	DANDLIKER et al.			
E3	4,894,547	01/16/90	LEFFELL et al.			
F3	4,894,806	01/16/90	JEN et al.			
G3	4,895,156	01/23/90	SCHULZE			
H3	4,913,142	04/03/90	KITTRELL et al.			
I3	4,925,804	05/15/90	HALE et al.			
J3	4,930,516	06/05/90	ALFANO et al.			
K3	4,937,457	06/26/90	MITCHELL			
L3	4,947,850	08/14/90	VANDERKOOI et al.			
M3	4,957,114	09/18/90	ZENG et al.			
N3	4,972,331	11/20/90	CHANCE			
EXAMINER			DATE CONSIDERED			

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**U.S. PATENT DOCUMENTS**

EXAMINER'S INITIALS	*PATENT NO.	*ISSUE DATE	*INVENTOR NAME	CLASS	SUBCLASS	FILING DATE
O3	4,973,848	11/27/90	KOLOBANOV et al.			
P3	4,981,138	01/01/91	DECKELBAUM et al.			
Q3	4,988,212	01/29/91	SUN et al.			
R3	5,003,977	04/02/91	SUZUKI et al.			
S3	5,014,707	05/14/91	SCHWARZ et al.			
T3	5,021,661	06/04/91	MASUTANI			
U3	5,022,757	06/11/91	MODELL			
V3	5,030,982	07/09/91	WILLIAMS et al.			
W3	5,034,010	07/23/91	KITTRELL et al.			
X3	5,039,219	08/13/91	JAMES et al.			
Y3	5,042,494	08/27/91	ALFANO			
Z3	5,043,585	08/27/91	FEHRENBACH et al.			
A4	5,053,626	10/01/91	TILLOTSON			
B4	5,061,075	10/29/91	ALFANO et al.			
C4	5,061,076	10/29/91	HURLEY			
D4	5,062,431	11/05/91	POTTER			
E4	5,090,415	02/1992	YAMASHITA et al.			
F4	5,092,331	03/03/92	NAKAMURA et al.			
G4	5,104,392	04/14/92	KITTRELL et al.			
H4	5,103,387	04/21/92	KITTRELL et al.			
I4	5,111,821	05/12/92	POTTER			
J4	5,115,137	05/19/92	ANDERSSON-ENGELS et al.			
K4	5,119,815	06/09/92	CHANCE			
L4	5,122,974	06/16/92	CHANCE			
M4	5,125,404	06/30/92	KITTRELL et al.			
N4	5,127,405	07/07/92	ALCALA et al.			
O4	5,131,398	07/21/92	ALFANO et al.			
P4	5,143,066	09/01/92	KOMIVES et al.			
Q4	5,151,869	09/29/92	ALCALA			
R4	5,154,164	10/13/92	CHIKAMA			
S4	5,168,162	12/01/92	OONG et al.			
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**U.S. PATENT DOCUMENTS**

EXAMINER'S INITIALS	*PATENT NO.	*ISSUE DATE	*INVENTOR NAME	CLASS	SUBCLASS	FILING DATE
T4	5,187,672	02/16/93	CHANCE			
U4	5,192,278	03/09/93	HAYES et al.			
V4	5,196,709	03/23/93	BERNDT et al.			
W4	5,201,318	04/13/93	RAVA et al.			
X4	5,201,908	04/13/93	JONES			
Y4	5,205,291	04/27/93	POTTER			
Z4	5,212,099	05/18/93	MARCUS			
A5	5,213,105	05/25/93	GRATTON et al.			
B5	5,257,202	10/26/93	FEDDERSEN et al.			
C5	5,261,410	11/16/93	ALFANO et al.			
D5	5,290,275	03/01/94	KITTRELL et al.			
E5	5,293,872	03/15/94	ALFANO et al.			
F5	5,303,026	04/12/94	STROBL et al.			
G5	5,304,173	04/19/94	KITTRELL et al.			
H5	5,315,993	05/31/94	ALCALA			
I5	5,318,023	06/07/94	VARI et al.			
J5	5,318,024	06/07/94	KITTRELL et al.			
K5	5,323,008	06/21/94	STUDHOLME et al.			
L5	5,329,353	07/12/94	ICHIMURA et al.			
M5	5,332,905	07/26/94	BROOKER et al.			
N5	5,340,716	08/23/94	ULLMAN et al.			
O5	5,345,941	09/13/94	RAVA et al.			
P5	5,348,018	09/20/94	ALFANO et al.			
Q5	5,348,890	09/20/94	ICHIKAWA et al.			
R5	5,349,954	09/27/94	TIEMANN et al.			
S5	5,353,799	10/11/94	CHANCE			
T5	5,363,854	11/15/94	MARTENS et al.			
U5	5,369,496	11/29/94	ALFANO et al.			
V5	5,370,119	12/06/94	MORDON et al.			
W5	5,377,676	01/03/95	VARI et al.			
X5	5,383,467	01/24/95	AUER et al.			
Y5	5,386,827	02/07/95	CHANCE et al.			
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**U.S. PATENT DOCUMENTS**

EXAMINER'S INITIALS	*PATENT NO.	*ISSUE DATE	*INVENTOR NAME	CLASS	SUBCLASS	FILING DATE
Z5	5,395,752	03/07/95	LAW et al.			
A6	5,402,778	04/04/95	CHANCE			
B6	5,408,996	04/25/95	SALB			
C6	5,413,108	05/09/95	ALFANO			
D6	5,419,323	05/30/95	KITTRELL et al.			
E6	5,421,337	06/06/95	RICHARDS-KORTUM et al.			
F6	5,421,339	06/06/95	RAMANUJAM et al.			
G6	5,422,719	06/06/95	GOLDSTEIN			
H6	5,435,307	07/25/95	FRIAUF et al.			
I6	5,439,000	08/08/95	GUNDERSON et al.			
J6	5,452,723	09/26/95	WU et al.			
K6	5,459,323	10/17/95	MORGAN			
L6	5,460,971	10/24/95	GOTTLIEB			
M6	5,467,767	11/21/95	ALFANO et al.			
N6	5,474,910	12/12/95	ALFANO			
O6	5,479,099	12/1995	JILES et al.			
P6	5,480,775	01/02/96	ITO et al.			
Q6	5,485,530	01/16/96	LAKOWICZ et al.			
R6	5,489,536	02/06/96	EKECHUKWU			
S6	5,491,343	02/13/96	BROOKER			
T6	5,492,118	02/20/96	GRATTON et al.			
U6	5,497,769	03/12/96	GRATTON et al.			
V6	5,500,536	03/19/96	NOGAMI et al.			
W6	5,503,616	04/02/96	JONES			
X6	5,504,336	04/02/96	NOGUCHI			
Y6	5,507,287	04/16/96	PALCIC et al.			
Z6	5,515,864	05/14/96	ZUCKERMAN			
A7	5,517,313	05/14/96	COLVEN, Jr.			
B7	5,533,508	07/09/96	DOIRON			
C7	5,536,235	07/16/96	YABE et al.			
D7	5,548,124	08/20/96	TAKESHIMA et al.			
EXAMINER			DATE CONSIDERED			

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E7	5,533,614	09/10/96	CHANCE			
F7	5,555,885	09/17/96	CHANCE			
G7	5,557,415	09/17/96	NIELSEN et al.			
H7	5,562,100	10/08/96	KITTRELL et al.			
I7	5,564,417	10/15/96	CHANCE			
J7	5,565,982	10/15/96	LEE et al.			
K7	5,579,773	12/03/96	VO-DINH et al.			
L7	5,582,168	12/10/96	SAMUELS et al.			
M7	5,590,660	01/07/97	MacAULAY et al.			
N7	5,596,987	01/28/97	CHANCE			
O7	5,596,992	01/28/97	HAALAND et al.			
P7	5,601,079	02/1/97	WONG et al.			
Q7	5,601,087	02/11/97	GUNDERSON et al.			
R7	5,612,540	03/18/97	RICHARDS-KORTUM et al.			
S7	5,619,992	04/15/97	GUTHRIC et al.			
T7	5,623,932	04/29/97	RAMANUJAM et al.			
U7	5,624,847	04/29/97	LAKOWICZ et al.			
V7	5,626,134	05/06/97	ZUCKERMAN			
W7	5,628,310	05/13/97	RAO et al.			
X7	5,630,423	05/20/97	WANG et al.			
Y7	5,635,402	06/03/97	ALFANO et al.			
Z7	5,647,368	07/15/97	ZENG et al.			
A8	5,664,574	09/09/97	CHANCE			
B8	5,673,701	10/07/97	CHANCE			
C8	5,674,182	10/07/97	SUZUKI et al.			
D8	5,678,550	10/21/97	BASSEN et al.			
E8	5,683,888	11/04/97	CAMPBELL			
F8	5,687,730	11/18/97	DOIRON et al.			
G8	5,697,373	12/16/97	RICHARDS-KORTUM et al.			
H8	5,699,795	12/23/97	RICHARDS-KORTUM et al.			
I8	5,699,798	12/23/97	HOCHMAN et al.			
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J9	5,701,902	12/30/97	VARI et al.			
K9	5,701,903	12/30/97	SANO et al.			
L9	5,713,352	02/03/98	ESSENPREIS et al.			
M9	5,713,364	02/03/98	DEBRAYSHE et al.			
N9	5,722,406	03/03/98	PAPAIIOANNOU			
O9	5,762,609	06/09/98	BENARON et al.			
P9	5,797,836	08/25/98	LUCEY et al.			
Q9	5,807,263	09/15/98	CHANCE			
R9	5,827,177	10/27/98	ONEDA et al.			
S9	5,852,494	12/22/98	SKLADNEV et al.			
T9	5,893,712	04/13/99	STONE et al.			
U9	5,901,261	05/04/99	WACH			
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APPLN. SERIAL NO.  
**10/603,597**

APPLICANT(S)  
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CUSTOMER NO. 34610

FILING DATE  
**June 26, 2003**

GROUP  
**To Be Assigned**

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